

10/536483

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Nicole Barone 5/24/05  
(Signature & date)

JC06 Rec'd PCT/PTO 24 MAY 2005

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of \_\_\_\_\_: May 24, 2005  
 Doris, et al. \_\_\_\_\_: Group Art Unit: To be assigned  
 Serial No: To be assigned \_\_\_\_\_: Examiner:  
 Filed: 11/25/02 \_\_\_\_\_: International Business Machines Corporation  
 2070 Route 52  
 Hopewell Junction, NY 12533

**TITLE:** Strained FINFET CMOS Device Structures

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

Pursuant to the duty of disclosure set forth in 37 C.F.R. 1.56, and further pursuant to the provisions of 37 C.F.R. 1.97 and 1.98, applicants hereby respectfully submit copies of the US and non-US patents and publications as listed on Form PTO-1449, attached hereto.

In citing these documents, no representation is made nor intended as to the pertinency or non-pertinency of the art, that better art than that listed is not available, or that other art is not applicable.

No fee is believed to be due for this submission. If any fees are required, however, the Commissioner is hereby authorized to charge such fees to Deposit Account No. 09-0458.

Respectfully submitted,  
 Doris, et al.

By Joseph P. Abate 5-24-05  
 Joseph P. Abate  
 Registration No. 30,238  
 Telephone No. 845-894-4633

FIS920020105US1

## INFORMATION DISCLOSURE STATION

(Use several sheets if necessary)

Docket Number (Optional)

FIS920020105

Applicant(s)

Doris, et al.

Filing Date

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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		3,602,841	8-31-71	McGroddy			
		4,665,415	5-12-87	Esaki, et al.			
		4,853,076	8-1-89	Tsaur, et al.			
		4,855,245	8-8-89	Neppl, et al.			
		4,952,524	8-28-90	Lee, et al.			

## U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		US 2001/0009784 A1	7-26-01	Ma, et al.			
		US 2002/0063292 A1	5-30-02	Armstrong, et al.			
		US 2002/0074598 A1	6-20-02	Doyle, et al.			
		US 2002/0086472	7-4-02	Roberds, et al.			

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
		JP64-76755	03-1989	Japan				

## OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

		Kern Rim, et al., "Transconductance Enhancement in Deep Submicron Strained-Si n-MOSFETs". International Electron Devices Meeting, 26, 8, 1, IEEE, September 1998.
		Kern Rim, et al., "Characteristics and Device Design of Sub-100 nm Strained Si N- and PMOSFETs." 2002 Symposium on VLSI Technology Digest of Technical Papers, IEEE, pp. 98-99.

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*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		4,958,213	9-18-90	Eklund, et al.			
		5,006,913	4-9-91	Sugahara, et al.			
		5,060,030	10-22-91	Hoke, et al.			
		5,081,513	1-14-92	Jackson, et al.			
		5,108,843	4-28-92	Ohtaka, et al.			

## U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		US 2002/0086497 A1	7-4-02	Kwok			
		US 2002/0090791 A1	7-11-02	Doyle, et al.			
		US 2003/0032261 A1	2-13-03	Yeh, et al.			
		US 2003/0040158 A1	2-27-03	Saitoh			

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

## OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

		Gregory Scott, et al., "NMOS Drive Current Reduction Caused by Transistor Layout and Trench Isolation Induced Stress." International Electron Devices Meeting, 34.4.1, IEEE, September 1999.
		F. Ootsuka, et al., "A Highly Dense, High-Performance 130nm Node CMOS Technology for Large Scale System-on-a-Chip Application." International Electron Devices Meeting, 23.5.1, IEEE, April 2000.

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*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,134,085	7-28-92	Gilgen, et al.			
		5,310,446	5-10-94	Konishi, et al.			
		5,354,695	10-11-94	Leedy			
		5,371,399	12-6-94	Burroughes, et al.			
		5,391,510	2-21-95	Hsu, et al.			

**U.S. PATENT APPLICATION PUBLICATIONS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		US 2003/0057184 A1	3-27-03	Yu, et al.			
		US 2003/0067035 A1	4-10-03	Tews, et al.			

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							YES	NO

**OTHER DOCUMENTS**

(Including Author, Title, Date, Pertinent Pages, Etc.)

		Shinya Ito, et al., "Mechanical Stress Effect of Etch-Stop Nitride and its Impact on Deep Submicron Transistor Design." International Electron Devices Meeting, 10.7.1, IEEE, April 2000.
		A. Shimizu, et al., "Local Mechanical-Stress Control (LMC): A New Technique for CMOS-Performance Enhancement." International Electron Devices Meeting, IEEE, March 2001.

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*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,459,346	10-17-95	Asakawa, et al.			
		5,471,948	12-5-95	Burroughes, et al.			
		5,557,122	9-17-96	Shrivastava, et al.			
		5,561,302	10-1-96	Candelaria			
		5,565,697	10-15-96	Asakawa, et al.			

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		K. Ota, et al., "Novel Locally Strained Channel Technique for High Performance 55nm CMOS." International Electron Devices Meeting, 2.2.1, IEEE, February 2002.
		G. Zhang, et al., "A New 'Mixed-Mode' Reliability Degradation Mechanism in Advanced Si and SiGe Bipolar Transistors." IEEE Transactions on Electron Devices, vol. 49, no. 12, December 2002, pp. 2151-56.

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		5,571,741	11-5-96	Leedy			
		5,592,007	1-7-97	Leedy			
		5,592,018	1-7-97	Leedy			
		5,670,798	9-23-97	Schetzina			
		5,679,965	10-21-97	Schetzina			

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H.S. Momose, et al., "Temperature Dependence of Emitter-Base Reverse Stress Degradation and its Mechanism Analyzed by MOS Structures." Paper 6.2, pp. 140-143.

C.J. Huang, et al., "Temperature Dependence and Post-Stress Recovery of Hot Electron Degradation Effects in Bipolar Transistors." IEEE 1991 Bipolar Circuits and Technology Meeting 7.5, pp. 170-173.

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		5,683,934	11-4-97	Candelaria			
		5,840,593	11-24-98	Leedy			
		5,861,651	1-19-99	Brasen, et al.			
		5,880,040	3-9-99	Sun, et al.			
		5,940,716	8-17-99	Jin, et al.			

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*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

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		S.R. Sheng, et al., "Degradation and Recovery of SiGe HBTs Following Radiation and Hot-Carrier Stressing." Pp. 14-15.
		Z. Yang, et al., "Avalanche Current Induced Hot Carrier Degradation in 200 GHz SiGe Heterojunction Bipolar Transistors." Pp. 1-5.

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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,940,736	8-17-99	Brady, et al.			
		5,946,559	8-31-99	Leedy			
		5,960,297	9-28-99	Saki			
		5,989,978	11-23-99	Peidous			
		6,008,126	12-28-99	Leedy			

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H. Li, et al., "Design of W-Band VCOs with High Output Power for Potential Application in 77 GHz Automotive Radar Systems." 2003 IEEE GaAs Digest, pp. 263-66.

H. Wurzer, et al., "Annealing of Degraded npn-Transistors- Mechanisms and Modeling." IEEE Transactions on Electron Devices, vol. 41, no. 4, April 1994, pp. 533-38.

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		6,025,280	2-15-00	Brady, et al.			
		6,046,464	4-4-00	Schetzina			
		6,066,545	5-23-00	Doshi, et al.			
		6,090,684	7-18-00	Ishitsuka, et al.			
		6,107,143	8-22-00	Park, et al.			

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## OTHER DOCUMENTS

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B. Doyle, et al., "Recovery of Hot-Carrier Damage in Reoxidized Nitrided Oxide MOSFETs." IEEE Electron Device Letters, vol. 13, no. 1, January 1992, pp. 38-40.

H.S. Momose, et al., "Analysis of the Temperature Dependence of Hot-Carrier-Induced Degradation in Bipolar Transistors for Bi-CMOS." IEEE Transactions on Electron Devices, vol. 41, no. 6, June 1994, pp. 978-987.

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*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		6,117,722	9-12-00	Wuu, et al.			
		6,133,071	10-17-00	Nagai			
		6,165,383	12-26-00	Chou			
		6,221,735	4-24-01	Manley, et al.			
		6,228,694	5-8-01	Doyle, et al.			

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		6,246,095	6-12-01	Brady, et al.			
		6,255,169	7-3-01	Li, et al.			
		6,261,964	7-17-01	Wu, et al.			
		6,265,317	7-24-01	Chiu, et al.			
		6,274,444	8-14-01	Wang			

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*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		6,281,532	8-28-01	Doyle, et al.			
		6,284,623	9-4-01	Zhang, et al.			
		6,284,626	9-4-01	Kim			
		6,319,794	11-20-01	Akatsu, et al.			
		6,361,885	3-26-02	Chou			

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		6,362,082	3-26-02	Doyle, et al.			
		6,368,931	4-9-02	Kuhn, et al.			
		6,403,486	6-11-02	Lou			
		6,403,975	6-11-02	Brunner, et al.			
		6,406,973	6-18-02	Lee			

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		6,476,462	11-5-02	Shimizu, et al.			
		6,483,171	11-19-02	Forbes, et al.			
		6,493,497	12-10-02	Ramdani, et al.			
		6,498,358	12-24-02	Lach, et al.			

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		6,501,121	12-31-02	Yu, et al.			
		6,506,652	1-14-03	Jan, et al.			
		6,509,618	1-21-03	Jan, et al.			
		6,521,964	2-18-03	Jan, et al.			
		6,531,369	3-11-03	Ozkan, et al.			

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		6,621,392	9-16-03	Volant, et al.			
		6,635,506	10-21-03	Volant, et al.			

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		6,342,410	1-29-02	Yu			
		6,413,802	7-2-02	Hu, et al.			
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**U.S. PATENT APPLICATION PUBLICATIONS**

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**FOREIGN PATENT DOCUMENTS**

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